

Transformation Accountability (TRAC)
Center for Mental Health Services

**NOMS Client-level Measures for Discretionary
Programs Providing Direct Services**

**NUMBER OF CONSUMERS SERVED REPORT
by Federal Fiscal Year**

Guide for CMHS Staff



December 2013
Version 9

Table of Contents

GENERAL OVERVIEW	1
SECTION A: KEY TERMS	2
SECTION B: RUNNING THE REPORT	3
Step 1: Navigate to the Report	3
Step 2: Select the Criteria (optional).....	5
Step 3: View the Report	8
SECTION C: USING THE REPORT.....	10
What information is shown?	10
Why are multiple years shown?	10
Take note.....	11
ACCESSING HELP	12
APPENDIX: TECHNICAL DETAILS	13
Definitions.....	13
How does the report run?	15

GENERAL OVERVIEW

The Number of Consumers Served Report by Federal Fiscal Year summarizes information about the number of consumers served by CMHS grants. For example, you can find out how many consumers were served by a grant, the annual goal for that grant, and the percentage of the goal that has been met.

This information allows government project officers (GPOs), and CMHS staff to assess how CMHS grants are doing in meeting the annual goal of the number of consumers served for Federal Fiscal Years.

Important note: Grantees enter their goals for each year of their grant. Grant years do not always match Federal Fiscal Years, depending on when the grant was awarded. The TRAC system converts grant years to Federal Fiscal Years by apportioning a percentage of the goal to each Federal Fiscal Year. The percentage apportioned corresponds to the proportion of the grant year that falls into a Federal Fiscal Year.

In this report you can find the following:

1. The unduplicated count of consumers served per year in a selected Federal Fiscal Year (FFY),
2. The annual goal of consumers to be served for the selected FFY
3. The percentage of the goal achieved for the selected FFY (the rate),
4. The first three items above for the FFY previous to the selected FFY (for comparison purposes)
5. An unduplicated count of consumers served since the start of the grant, and
6. The unduplicated goal of all consumers to be served during the total grant period.

This guide to the Number of Consumers Served Report provides you with the following information:

- a list of key terms you need to understand for this guide and the report,
- instructions for running the report and customizing it for your needs,
- a description of how to use the report,
- an appendix of technical details.

SECTION A: KEY TERMS

This section presents brief definitions of terms used in the Number of Consumers Served Report and in this guide.

Consumer: A consumer is a person who is actively receiving or has received services from a CMHS funded program.

Federal Fiscal Year (FFY): The federal fiscal year is the accounting period of the federal government. It begins on October 1 and ends on September 30 of the next calendar year. Each fiscal year is identified by the calendar year in which it ends and commonly is referred to as “FFY.” For example, FFY2010 began October 1, 2009, and ends September 30, 2010.

Consumers Served (FFY) is the number of unique consumers served within the FFY specified in the column header.

Annual Goal: is the number of consumers the grantee will serve within the FFY specified. This is a *calculated* goal, converted from the grant year annual goals, which are submitted by grantees in the Annual Goals data entry screens.

Rate: The rate is the percentage of the goal that has been achieved on the date the report was run.

Role: Your role in the TRAC system governs what you can view in the system. Some roles include project director, grantee staff, and government project officer (GPO). The general rule of thumb is that you can run reports for the grant(s) and/or grant program(s) you are associated with. For example, most grant project directors or grantee staff are associated with just one grant and would only see data for the one grant they are associated with.

SECTION B: RUNNING THE REPORT

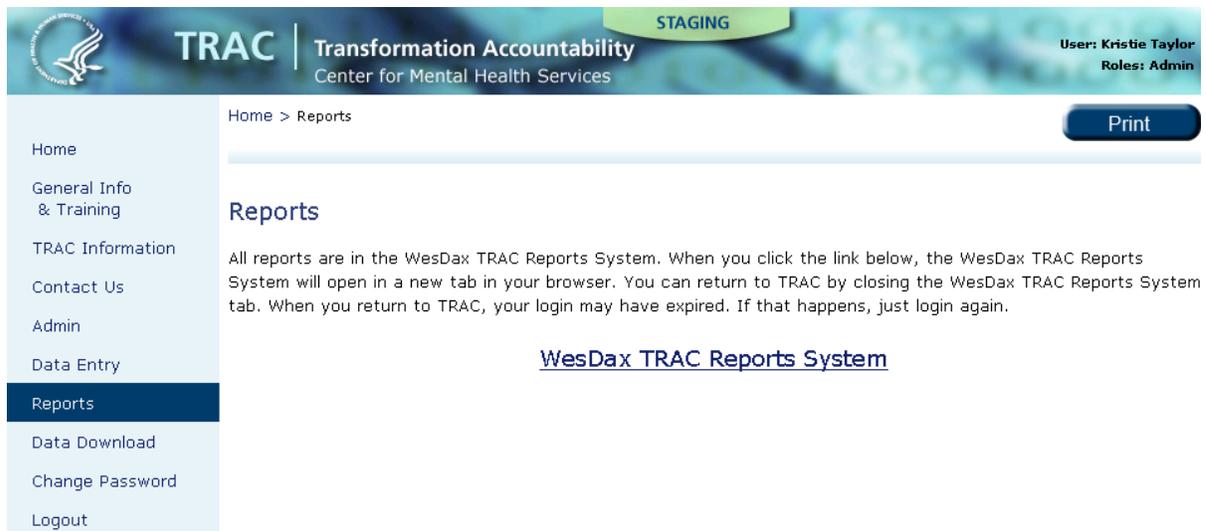
To run the **Number of Consumers Served Report**, there are three steps:

1. Navigate to the Number of Consumers Served Report menu
2. Select the criteria for the report view (optional)
3. View the report

Step 1: Navigate to the Report

Select “Reports” on the homepage from the left menu bar

Select the link for WesDax TRAC Reports System in the middle of the screen. The WesDax TRAC Report System will open in a new browser tab.



The screenshot displays the TRAC (Transformation Accountability Center for Mental Health Services) interface. At the top, there is a header with the TRAC logo, the text "TRAC | Transformation Accountability Center for Mental Health Services", a "STAGING" indicator, and user information: "User: Kristie Taylor" and "Roles: Admin". Below the header is a navigation menu on the left with options: Home, General Info & Training, TRAC Information, Contact Us, Admin, Data Entry, Reports (highlighted), Data Download, Change Password, and Logout. The main content area shows "Home > Reports" and a "Print" button. The "Reports" section contains the text: "All reports are in the WesDax TRAC Reports System. When you click the link below, the WesDax TRAC Reports System will open in a new tab in your browser. You can return to TRAC by closing the WesDax TRAC Reports System tab. When you return to TRAC, your login may have expired. If that happens, just login again." Below this text is a blue underlined link: [WesDax TRAC Reports System](#).

The WesDax TRAC Reports system is shown below. Select “Services Number of Consumers Served by FFY” on the left menu. A submenu will appear. Choose whether you want to run the program by Program List or Grant List.

- The Program List will let you run the report by all Programs or specific Programs.
- The Grant List allows you to run the report for all grants or specific grants (based on your access).



TRAC | Transformation Accountability
Center for Mental Health Services

Project: TRAC >> WesDax TRAC Reports

Welcome to the WesDax TRAC Reports

To run a report, select it from the list on the left, then follow the instructions on the screen.

If you need assistance, contact [TRAC Help](#).

WesDax TRAC Reports
Return to TRAC
Services Outcome Measures ▶
Services Notification Report ▶
Services Reassessment Interview Rate ▶
Services Number of Consumers Served by FFY ▶
Services Cross Tabulation/Frequency ▶

NOTE: To run a default report, just click “View.”

You can skip step 2, selecting the criteria for your report. You only need to select criteria if you want to customize your report by sorting or filtering it.

Step 2: Select the Criteria (optional)

You can set several criteria for the Number of Consumers Served Report. These criteria specify what data will be included in your report. The following report criteria are available:

- A. Output as
- B. Report By
- C. Grant Status
- D. Goal Approval Status
- E. Federal Fiscal Year
- F. Grant Information contains
- G. Sort by
- H. Sort Order
- I. Show glossary
- J. Population
- K. Region
- L. State
- M. Program or Grant

The criteria are described in more detail below.

A. **Output as**

You can have the report output in HTML, PDF, RTF or Excel. The default is PDF.

B. **Report By**

You can group your report by All Combined, Program, Cohort, Grant, Region, or State. The default is Grant.

Grant Status

- C. You can run the report for active grants or all grants. “Active Grants” includes only grants that have not yet ended. “All Grants” includes grants that have ended in addition to active grants. The default is active grants

D. **Goal Approval Status**

You can select to view grants by “Approved Goals Only” or by “Approved and Unapproved Goals”. The default is “Approved Goals”.

E. **FFY – Federal Fiscal Year**

You can select any year from the start of TRAC to the current FFY. The default is the current FFY.

F. **Grant Information contains**

This is only applicable if you have selected Grant under Report By. You can enter text/keywords to filter the report. The default is blank, meaning the report will not be filtered by this criterion.

G. Sort by

By default the report will sort by grant or program information. To change how the report is sorted, make a selection from the pull-down menu. The choices are any of the report column headings.

H. **Sort Order**

You can choose ascending (low to high) or descending (high to low) order for your sort. The default is ascending.

I. **Show glossary**

If you want to review a glossary of terms for the report, select yes. The glossary items also appear in the “key terms” section of this guide. The default is to *not* show the glossary.

J. **Population**

You can filter the report by specific populations. The available population filters are: Gender, Hispanic/Latino, Race, Age group, Military Service, Trauma, and Housing.

The default is “No filter selected” which will produce a report with all consumers included.

To filter the report by a specific population, click on the check box for the population you want to see; the report will then only include consumers that match the checked criteria. You can filter by more than one population group at a time.

For example, you can run the report for males who are ages 16-25 by clicking the male and the 16 – 25 age check boxes. To protect the privacy of consumers, any cell that contains less than 5 consumers will be suppressed (indicated with an S) when population filters are used.

K. **Region**

You can select any combinations of regions including all regions and the report will show results based on these selections. The default is all regions.

J. **State**

You can select any combination of states. The default is all states.

Note: The State and Region selection criterion are mutually exclusive, meaning you can make a selection from one or the other however not both. For example, if “1” is selected for region then a specific state, like” MD”, can’t be selected. If “All Regions” is selected then a specific state or any combination of states can be selected.

L. **Program or Grant**

This section lists the grants or programs you can run the report for. By default, all the grants or programs you have access to will be selected.

Step 3: View the Report

Click “View” to generate the report. Your report will open in a separate window. A sample report is below.

The sample report below shows what the Number of Consumers Served Report by FFY looks like when you select 2009 as the FFY.

1

Services Number of Consumers Served Report by Federal Fiscal Year

Report By: Program

Goal Approval Status: Approved and Unapproved Goals

FFY: 2009

Grant Information Contains: N/A

Sort By: Default

Sort Order: Ascending

Show Glossary: No

Population(s): Gender – Male; Military Service Members, Veterans, or Families; Experienced trauma; Housing - Homeless only

Region(s): 1, 2, 3, 4, 5, 7, 8

State(s): AL, AR

Selected Program(s): Prog1

Grant(s): SM0001

Data entered as of: [Month, Time AM/PM time zone]

CONFIDENTIAL

Services Number of Consumers Served Report by Federal Fiscal Year

Program=PROG1

Grant ID	Grant Information	FFY08 Consumers Served	FFY08 Annual Goal	FFY08 Rate	FFY09 Consumers Served	FFY09 Annual Goal	FFY09 Rate	Cumulative To Date - Consumers Served	Cumulative To Date - Goal	Cumulative To Date Rate
SM0001	Community MH Rockville, MD 09/30/2009- 09/29/2014	118	150	78.6%	129	160	80.6%	203	250	81.2%
Total Grants: 1		118	150	78.6	129	160	80.6%	203	N/A	81.2%
Program Summary: 8		1204	1642	73.3%	1287	1456	88.4%	6908	8756	78.9%

CONFIDENTIAL

SECTION C: USING THE REPORT

What information is shown?

Reading the report from *left to right*, the report shows three pieces of information for your grant or program.

1. The number of individual consumers who were served during a specific FFY.
2. The annual goal of the number of consumers expected to be served for a specific FFY.
3. The rate at which your grant or program achieved the annual goal for a specific FFY.

Reading the report from *top to bottom*, the report shows the three pieces of information described above (shown in the first row) for:

1. Each of your selected grant(s) or program(s) individually.
2. The total for all of your selected grant(s) or programs(s).
3. The total for the program.

Why are multiple years shown?

The report shows the same information for three different timeframes. This is to allow you to compare your grant's (or program's) performance for the year you select to a previous year and to all of the FFYs in total.

Reading the report from left to right, the information described above is shown as follows:

- The first three columns show the information for the year before your selected FFY.
- The middle three columns show the information for your selected FFY.
- The last two columns show the information for all years to date for your grant or program (cumulative); the cumulative rate is not shown.

Take note

A few points to keep in mind while using the report:

- The “Number of Consumers Served” is a count of each consumer that received treatment or services for a specific FFY.
 - This means that if a consumer has more than one episode of care in a FFY or received multiple services he or she is counted *only once* in that FFY.
 - If a consumer was served in 2008 and 2009, the consumer would be counted once in both years.
- The “Cumulative to Date” number is the unique or individual count of consumers served thus far, since the start of the grant. For this count, a consumer is not counted more than once, so you cannot add up the FFY counts to get this number.
 - If a consumer was served in 2008 and 2009, they are counted *only once* in the cumulative column.

THINGS TO REMEMBER / FREQUENTLY ASKED QUESTIONS

- Please review the Appendix: Technical Details > Definitions section of this guide for more detailed information about how the report runs and how consumers are counted.
- If you do not change any criteria and simply view the report, the default report will show data for the current fiscal year, and will show goal data for approved goals only.
- In this report guide, “unduplicated” means the consumer is never counted twice within a given federal fiscal year, but may be counted in one or more federal fiscal years based on the duration of their treatment.
- If your user account was just created, you may not have access to this report for up to 36 hours.

ACCESSING HELP

For technical support or questions about TRAC, please contact the TRAC Help Desk, located at Westat.

Telephone: 1-888-219-0238

Email: TRACHELP@westat.com

Hours: M-F 8:30 AM – 7:00 PM (EST/EDT)

APPENDIX: TECHNICAL DETAILS

This appendix provides technical details about how the TRAC data was used to generate the Number of Consumers Served Report. In this section, you can find information about how each of the columns in the report is defined.

Definitions

Consumers Served (FFY)

This is the number of unique, consumers served within the FFY shown on the report in the column heading. A consumer is not counted more than once within a FFY period, even if that consumer had more than one episode of care (i.e., returned to the grant for additional services after a lapse in treatment in the same FFY). **Please note:** A consumer is counted as served in all FFYs covered during the consumer's episode of care and is indicated by the records entered into TRAC from baseline through the consumer's discharge. To keep a consumer counted as served during the current FFY, it is important to enter an interview or an administrative reassessment during their "reassessment due" period (or before the start of the next reassessment window). If you have previously marked "No data" or "Refused all interviews" in the record management section of a consumer record you will need to enter a discharge record to end the current episode of care.

Annual Goal (FFY)

The annual goal is the number of consumers the grantee has indicated will be served within the FFY you selected. The annual goals displayed on this report are **constant and not prorated** for the selected or previous FFY, even if the selected FFY is the current one.

"N/A" will be indicated as a placeholder for all grants where annual goals have not been entered. If the grant is combined with other grants with annual goals data (for example, when the report is run for a program), then the N/A is treated as 0 in the calculation.

Rate (FFY)

This number is calculated as the "Consumers Served" column of a FFY divided by the "Annual Goal" column of its respective FFY and multiplied by 100 to calculate a percentage $((\text{Consumers Served}/\text{Annual Goal}) * 100)$. The rate for both the selected and the previous FFY is rounded to the nearest tenth of a percent.

Note: Grants with no annual goals are not included in summary rates, for example, when the rate is calculated for a program or a cohort. Grants with no goals are omitted from these calculations.

Consumers Served (Cumulative To Date)

This number is the unique, count of consumers served thus far, since the start of the grant. This is different than adding up all the annual consumers served of

each FFY, since that figure may contain duplicated consumers. A consumer cannot be counted more than once in this column, even with multiple episodes of care, or if the consumer was counted once in the FFY the user selected as well as the previous FFY reported. This “To-Date” figure should not change depending on what FFY/FFQ the user selects.

Goal (Cumulative To Date)

This number is an estimate of the number of unique consumers that were projected to be served between the grant start date to the date the report was generated. This is based on the grant’s unduplicated cumulative service goal (please refer to the Annual Goals and Budget Information Guide for Grantees for additional details). This is calculated by dividing this Cumulative Goal by the number of whole months in the period from the grant start date to the grant end date and multiplying it by the number of months that have elapsed since the grant start date. **Please note:** If the calculation includes one or more partial months (as indicated for either asterisk in the target column formula), the month(s) will not be counted. Partial month(s) is defined as anything less than the number of calendar days in a month. The current month will not be calculated in the # of months elapsed since the grant start date until the last day of the month.

“N/A” will be indicated as a placeholder for all grants where a cumulative goal has not been set.

The “To-Date” number is the sum of all monthly goals up until the date the report is generated. This figure should not change depending on what FFY/FFQ the user selects.

Rate (Cumulative To Date)

This number is calculated as the “Cumulative to Date Consumers Served” column divided by the “Cumulative to Date Goal” column and multiplied by 100 to calculate a percentage ((Cumulative to Date Consumers Served/Cumulative to Date Goal)*100).

Please note:

- N/A will be displayed in the annual goals and rate columns for grants that have not entered their Annual Goals data at all.
- If the Previous FFY **ends** prior to the grant’s start date, then “N/A” will be populated in each column under those Previous FFY columns for that grant.
- If the Selected FFY **starts** on or after the grant’s inactivate date, then “N/A” will be populated in each column under those Selected FFY columns for that grant.

How does the report run?

Information is taken from the records you submit on each consumer to determine the year(s) they were provided services. A different piece of information, or variable within TRAC, is used depending on whether an interview was conducted or an administrative record was entered. The process used to assign a consumer to a FFY in this report is described below.

The report is updated once every 24 hours. The date and time it was last updated appears at the top of the report.

❖ **The system looks at the first record within the selected FFY for one of the following dates:**

1. *Interview Date:* The interview date is used to assign a consumer to a specific FFY for either a completed interview (Baseline, Reassessment, or Discharge).

Example: A consumer with an interview date of 9/10/10 is counted as served in FFY10.

2. *First Received Services Date:* The first received services date is used to assign a consumer to a specific FFY for an Administrative Baseline record.

Example: A consumer with a first received services date of 09/15/13 is counted as served in FFY12.

3. *Last Services Received Date:* The date the consumer last received services is used to assign a consumer to a specific FFY for an Administrative Reassessment record.

Example: A consumer who last received services on 7/15/09 is counted as served in FFY09.

4. *Discharge Date:* The date the consumer was discharged is used to assign a consumer to a specific FFY for an Administrative Discharge record.

Example: A consumer who is discharged on 7/15/09 (without an interview) is counted as served in FFY09.

The system searches the database for a consumer record with one of the three dates listed above within the FFY you selected. If any of the dates listed above is found and confirmed, the consumer is assigned to the FFY you selected. When no records are found for the selected FFY, the system runs an additional search as follows.

❖ **The system runs additional checks**

A consumer is counted as served for the FFY you select if at least one of the following occurs:

1. *Still Receiving Services*: If the system finds a record within **the year just prior to the FFY you selected** that has either the *Interview Date* or the *Last Services Received Date*, **and** no more than 7 months has elapsed. In this case, we assume that the consumer has not yet been reassessed, was not discharged or lost to contact, and is still receiving services; he or she is included in the report for the selected FFY.

Example: You selected FFY2010 to run your report. A consumer who was interviewed on 6/15/09 and not yet discharged is counted toward the number of consumers served for FFY10.

2. *Gaps in Records*: If the system finds both:
 - a record within **the year just prior to the FFY you selected** that has either *Interview Date* or the *Last Services Received Date*, **and**
 - a record within **the year just after the FFY you selected** that has the *Interview Date*, the *Last Services Received Date*, or the *Discharge Date*.

This might happen, if for example the consumer missed one or more reassessments in the selected FFY and the grantee did not submit an administrative reassessment. In this case, we assume that the consumer was receiving services during the FFY you selected.

Example: You selected FFY2009 to run your report. A consumer who was interviewed on 6/15/08 and discharged on 1/23/2010 with no additional records in between is counted toward the number of consumers served for FFY09.

3. *No Data Due to Consumer Consent Issue*: If the system finds a record within **the year just prior to the FFY you selected** that has either the *Interview Date* or the *Last Services Received Date* and the grantee indicated they will not attempt further interviews due to consent issue. The exception would be if the episode of care ended prior to the FFY.
4. Administrative baseline records and consumer First Received Services dates prior to the implementation of TRAC data collection by the grant.

Example: A consumer with an administrative baseline date of 7/10/2007 submitted to TRAC on 11/12/2007 when the grant began collecting TRAC on 10/1/2007 would be counted as served in FFY 07 and FFY 08.

Example: A baseline interview with a First Received Services Date of 10/15/2009 and a Baseline Interview Date of 11/15/2010 will be counted in FFY 10 and FFY 11.

Please note: The number of *Consumers Served* in the previous FFY may change due to a deletion or submission of a record in the current FFY. For example, a consumer is interviewed for a baseline in 2/10 but the record is not submitted until 11/10 – the FFY10 count would increase once the record is entered.

❖ **The system runs the same process for the FFY prior to the selected FFY**

The same process is used to assign a consumer to the FFY prior to the Selected FFY.

❖ **The system runs the calculations and populates the table**

The system runs the calculations (the Numbers Served, the rates (and rate to-date)), and displays the Annual Goals and calculated data.